

Community Service Block Grant (CSBG)
Funding via US Health and Human Services & MT Dept. Public Health & Human Services
Agency Monitoring Tool

Agency Profile	
Name	
Address	
Date of last visit	
Current Period of Review	
Executive Director	
Program Coordinator	
How does the Executive Director track the status of Program?	How often?
Total number of program staff	

Monitoring Participants:		Dates	
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Items from previous monitoring visit	Yes	No	N/A	Comments
Have all financial corrective action requirements from the previous monitoring reports been satisfactorily addressed?				
Have all programmatic corrective action requirements from the previous monitoring reports been satisfactorily addressed?				
Have all administrative corrective action requirements from the previous monitoring reports been satisfactorily addressed?				
Are there items that need to be followed up?				

Maximum Feasible Participation – Category 1: Consumer Input and Involvement				
	Yes	No	Documentation Used	Comments
S.1.1 Does the Agency demonstrate low-income participation in its activities? How?			(Check all that apply) <input type="checkbox"/> Advisory group documents <input type="checkbox"/> Advisory group minutes <input type="checkbox"/> Activity participation lists <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Volunteer lists and documents <input type="checkbox"/> Other (if other, explain)	
S.1.2 Does the Agency analyze information collected directly from low-income individuals as part of the Community Assessment?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Backup documentation/data summaries <input type="checkbox"/> Community forum summaries <input type="checkbox"/> Interview transcripts <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> How is data collected? 				
<ul style="list-style-type: none"> How is data reviewed and utilized? 				
S.1.3 Does the Agency have a systematic approach for 1) collecting, 2) analyzing, and 3)			(Check all that apply)	

reporting customer satisfaction data?			<input type="checkbox"/> Customer satisfaction policy and/or procedures <input type="checkbox"/> Customer satisfaction instruments, e.g., survey, data collection tools and schedule <input type="checkbox"/> Customer satisfaction reports to organization leadership, board and/or broader community <input type="checkbox"/> Board/Committee Minutes <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> How are all three components documented? 				
<ul style="list-style-type: none"> Does staff analyze findings? 				
<ul style="list-style-type: none"> Is it presented to the Board? How? 				
Maximum Feasible Participation – Category 2: Community Engagement				
	Yes	No	Documentation Used	Comments
S.2.1 Has the Agency documented or demonstrated partnerships across the community, for specifically identified purposes?			(Check all that apply) <input type="checkbox"/> Partnership documentation: agreements, emails, MOU/MOAs <input type="checkbox"/> Sub contracts with delegate/partner agencies <input type="checkbox"/> Coalition membership lists <input type="checkbox"/> Strategic plan	

			update/report if it demonstrates partnerships <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Do partnerships include other anti-poverty organizations in the area? 				
<ul style="list-style-type: none"> How are partnerships documented? 				
Assurance 5: Has the agency coordinated and established linkages between governmental and other social services organizations to avoid duplication and assure the effective delivery of such services to low-income individuals? Explain			(Check all that apply) <input type="checkbox"/> Same as S.2.1 above <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> State Plan <input type="checkbox"/> Conversation with ED and Staff <input type="checkbox"/> Other (if other, explain)	
Assurance 5: Has the agency coordinated the provision of employment and training activities in its service area with entities providing activities through work force investment systems under the Workforce Innovation and Opportunity Act? Explain			(Check all that apply) <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> State Plan <input type="checkbox"/> Conversation with ED and Staff <input type="checkbox"/> Other (if other, explain)	
Has the agency provided coordination between anti-poverty programs and ensured that emergency energy crisis intervention programs are conducted in its service territory? Explain			(Check all that apply) <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> State Plan <input type="checkbox"/> Conversation with ED and Staff <input type="checkbox"/> Other (if other, explain)	

Assurance 6: Has the agency coordinated programs and formed partnerships with organizations serving low-income residents and members of groups serviced by the State including religious organizations, charitable groups and community organizations? Explain			(Check all that apply) <input type="checkbox"/> Same as S.2.1 above <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> State Plan <input type="checkbox"/> Conversation with ED and Staff <input type="checkbox"/> Other (if other, explain)	
S.2.2 Does the Agency gather information from key sectors of the community in order to assess needs and resources?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Other written or online reports <input type="checkbox"/> Backup documentation of involvement: surveys, interview documentation, community meeting minutes, etc. <input type="checkbox"/> Board/Committee or staff meeting minutes <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Are all 5 sectors engaged? 				
<ul style="list-style-type: none"> If not, has the Agency demonstrated the gap where sectors are not present or a good faith effort to engage the sector(s) that refuse to participate? 				
<ul style="list-style-type: none"> What types of engagement activities are conducted? 				
S.2.3 Does the Agency communicate its activities and its results to the community? How?			(Check all that apply)	

			<input type="checkbox"/> Annual report <input type="checkbox"/> Website, Facebook page, Twitter account, etc. (regularly updated) <input type="checkbox"/> Media files of stories published <input type="checkbox"/> News release copies <input type="checkbox"/> Community event information <input type="checkbox"/> Communication plan <input type="checkbox"/> Other (if other, explain)	
S.2.4 Does the Agency document the number of volunteers and hours mobilized in support of its activities?			(Check all that apply) <input type="checkbox"/> Data on number of volunteers and hours provided <input type="checkbox"/> Board minutes <input type="checkbox"/> Documentation of tracking system(s) <input type="checkbox"/> Other (if other, explain)	
Maximum Feasible Participation – Category 3: Community Assessment				
	Yes	No	Documentation Used	Comments
S.3.1 Has the Agency conducted a Community Needs Assessment and issued a report within the past 3 years?			(Check all that apply) <input type="checkbox"/> Community assessment document with date noted <input type="checkbox"/> Other (if other, explain)	Issue date:
<ul style="list-style-type: none"> Were both needs and resources assessed? 				

<ul style="list-style-type: none"> Has it been circulated? How? 				
S.3.2 Did the Agency collect and include current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s) in the Community Needs Assessment?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Backup information including census and other demographic data <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Are all four categories demonstrated? 				
S.3.3 Did the Agency collect and analyze qualitative data on its geographic service area(s) in the Community Needs Assessment?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Backup documentation <input type="checkbox"/> Broader community-wide assessments <input type="checkbox"/> Other data collection process on poverty <input type="checkbox"/> Committee/team meeting minutes reflecting analysis <input type="checkbox"/> Other (if other, explain)	
S.3.3 Did the Agency collect and analyze quantitative data on its geographic service area(s) in the Community Needs Assessment?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Backup documentation <input type="checkbox"/> Broader community-wide assessments	

			<input type="checkbox"/> Other data collection process on poverty <input type="checkbox"/> Committee/team meeting minutes reflecting analysis <input type="checkbox"/> Other (if other, explain)	
S.3.4 Does the community assessment include key findings on the causes and conditions of poverty in the assessed community?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Backup documentation <input type="checkbox"/> Committee/team meeting minutes reflecting analysis <input type="checkbox"/> Other (if other, explain)	
S.3.4 Does the community assessment include the identified needs of the assessed community?			(Check all that apply) <input type="checkbox"/> Community assessment document (including appendices) <input type="checkbox"/> Backup documentation <input type="checkbox"/> Committee/team meeting minutes reflecting analysis <input type="checkbox"/> Other (if other, explain)	
S.3.5 Did the governing board formally accept the completed Community Needs Assessment?			(Check all that apply) <input type="checkbox"/> Community assessment document <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting	

			materials/packet <input type="checkbox"/> Other (if other, explain)	
Vision and Direction – Category 4: Organizational Leadership				
	Yes	No	Documentation Used	Comments
S.4.1 Has the governing board reviewed the Organization’s mission statement within the past 5 years?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Strategic plan <input type="checkbox"/> Mission statement <input type="checkbox"/> Other (if other, explain)	Review Date:
<ul style="list-style-type: none"> Does it address poverty? 				
<ul style="list-style-type: none"> Has the board reviewed and formally determined that the Agency’s programs and services align with the mission? 				
S.4.2 Is the Agency’s Community Action Plan (CSBG work plan) outcome-based; anti-poverty focused, and directly tied to the Community Needs Assessment?			(Check all that apply) <input type="checkbox"/> CAP plan/CSBG work plan <input type="checkbox"/> Logic model <input type="checkbox"/> Community assessment <input type="checkbox"/> Other (if other, explain)	
S.4.3 Does the Agency’s Community Action Plan and Strategic Plan document the continuous use of the full ROMA cycle? Or comparable process?			(Check all that apply) <input type="checkbox"/> Certified ROMA trainer in the organization <input type="checkbox"/> Agreement with certified trainer not within the organization to provide ROMA services <input type="checkbox"/> Strategic plan (including	

			appendices) <input type="checkbox"/> The community action plan (including appendices) <input type="checkbox"/> Meeting summaries of ROMA trainer participation <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Did the Agency use the services of a ROMA-certified trainer (or equivalent) to assist in implementation? 				
<ul style="list-style-type: none"> Does the Agency have a ROMA-certified trainer on staff? 				
<ul style="list-style-type: none"> Does the Agency's ED display acceptance and knowledge of ROMA? 				
<ul style="list-style-type: none"> Are Board members trained in ROMA? 				
<ul style="list-style-type: none"> Does the Board of Directors display acceptance and knowledge of ROMA? 				
Assurance 9: How has the agency participated in ROMA and what outcome measures has the agency used to measure performance in promoting self-sufficiency, family stability and community revitalization?			(Check all that apply) <input type="checkbox"/> Same as S.4.3 above <input type="checkbox"/> CSBG Work Plan <input type="checkbox"/> IS Report <input type="checkbox"/> Progress Report <input type="checkbox"/> Staff ROMA Trainings (see S.7.9) <input type="checkbox"/> Other (if other, explain)	
Based on reports submitted to IHSB, does the agency demonstrate understanding of National Performance Indicators?			(Check all that apply) <input type="checkbox"/> State Plan <input type="checkbox"/> CSBG Work Plan <input type="checkbox"/> IS Report <input type="checkbox"/> Progress Report <input type="checkbox"/> <input type="checkbox"/> Other (if other, explain)	
S.4.4 Does the board receive an annual update on			(Check all that apply)	

the success of specific strategies included in the Community Action plan?			<input type="checkbox"/> Community action plan update/report <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
S.4.5 Does the Agency have a written succession plan in place for the CEO/ED?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Succession plan/policy <input type="checkbox"/> Short term succession plan <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Is it approved by the governing board? 				
<ul style="list-style-type: none"> Does it contain procedures for covering an emergency/unplanned, short-term absence of 3 months or less? 				
<ul style="list-style-type: none"> Does it outline the process for filling a permanent vacancy? 				
Does the Agency have a written succession plan in place for Program Directors?			(Check all that apply) <input type="checkbox"/> Succession plan/policy <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Does it contain procedures for covering an emergency/unplanned, short-term absence of 3 months or less? 				
<ul style="list-style-type: none"> Does it outline the process for filling a permanent vacancy? 				
Does the Agency have the appropriate administrative leadership capacity to meet agency goals?				

S.4.6 Has an organization-wide risk assessment been completed within the past 2 years?			(Check all that apply) <input type="checkbox"/> Risk assessment policy and/or procedures <input type="checkbox"/> Board minutes <input type="checkbox"/> Completed risk assessment tool <input type="checkbox"/> Risk assessment reports <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Was it reported to the governing board? 				
Vision and Direction – Category 5: Board Governance				
	Yes	No	Documentation Used	Comments
S.5.1 Is the organization's governing board structure in compliance with the CSBG Act? Is the composition of the Board appropriate and tripartite - no less than one-third democratically elected representatives of low-income individuals, one-third local elected officials, and the remaining membership from major groups and interests in the community?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Board roster <input type="checkbox"/> Bylaws <input type="checkbox"/> Other (if other, explain)	
Elected Public Officials Number of Seats: Number of Vacancies:				
Low-Income Representatives Number of Seats: Number of Vacancies:				
Private Sector Representatives Number of Seats: Number of Vacancies:				
Assurance 7 What procedures has the agency established under which a low-income individual, community organization, religious organization,			(Check all that apply) <input type="checkbox"/> Procedures and Policy	

or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the Board of the agency to petition for adequate representation?			document <input type="checkbox"/> Other (if other, explain)	
Does the Board roster list names, titles, addresses, sector represented, date appointed/or elected & term expiration date for all members?			(Check all that apply) <input type="checkbox"/> Board Roster	
S.5.2 Does the Board have written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low –income community?			(Check all that apply) <input type="checkbox"/> Board policies and procedures <input type="checkbox"/> Board minutes <input type="checkbox"/> Bylaws <input type="checkbox"/> Other (if other, explain)	
Do bylaws specify a method for selection that is appropriate for each sector?			(Check all that apply) <input type="checkbox"/> Bylaws	
Is there a provision in the bylaws that address board terms? What is it?			(Check all that apply) <input type="checkbox"/> Bylaws	
Are the actual election/selection procedures in accordance with agency bylaws & CSBG policy?			(Check all that apply) <input type="checkbox"/> Board policies and procedures <input type="checkbox"/> Board minutes <input type="checkbox"/> Bylaws <input type="checkbox"/> Other (if other, explain)	
S.5.3 Have the Agency's bylaws been reviewed by an attorney within the past 5 years?			(Check all that apply) <input type="checkbox"/> Bylaws <input type="checkbox"/> Board minutes <input type="checkbox"/> Attorney statement/invoice	Review Date:

			<input type="checkbox"/> Other (if other, explain)	
S.5.4 Is it documented that each governing board member received a copy of the bylaws within the past 2 years?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Bylaws <input type="checkbox"/> List of signatures <input type="checkbox"/> Copies of acknowledgements <input type="checkbox"/> Other (if other, explain)	
S.5.5 Are Board meetings conducted at the frequency directed by its bylaws?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Board roster <input type="checkbox"/> Board bylaws <input type="checkbox"/> Other (if other, explain)	
• How often do the bylaws require the board to meet?				
• When are Board meetings held?				
• When was the last board meeting held?				
S.5.5 Does the Board meet in accordance with quorum requirements?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Board roster <input type="checkbox"/> Board bylaws <input type="checkbox"/> Other (if other, explain)	
Was there a quorum present at each scheduled Board meeting for which minutes were reviewed?			(Check all that apply) <input type="checkbox"/> Board minutes	

Is there a procedure established when there is a lack of a quorum? What is it?				
S.5.5 Does the Board fill vacancies as set out in its bylaws?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Board roster <input type="checkbox"/> Board bylaws <input type="checkbox"/> Other (if other, explain)	
Are private and poverty sector Board members within the limitations on Board service, if one has been established?			(Check all that apply) <input type="checkbox"/> Board roster <input type="checkbox"/> Board bylaws <input type="checkbox"/> Other (if other, explain)	
Has the agency ensured that 25% of either public or poverty sector Board seats have not remained vacant for more than 90 days?			<input type="checkbox"/> Board roster	
S.5.6 Has each governing board member signed a conflict of interest policy within the past 2 years?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Conflict of interest policy/procedures <input type="checkbox"/> Signed policies/signature list <input type="checkbox"/> Other (if other, explain)	
S.5.7 Does the Agency have a process to provide a structured orientation for governing board members within 6 months of being seated?			(Check all that apply) <input type="checkbox"/> Board policy/procedures <input type="checkbox"/> Board training materials <input type="checkbox"/> Board member acknowledgement	

			/signature <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> How is the process documented? 				
<ul style="list-style-type: none"> Since Jan. 2016, has each new board member been provided with the opportunity for orientation? 				
S.5.8 Have governing board members been provided with training on their duties and responsibilities within the past two years?			(Check all that apply) <input type="checkbox"/> Training agendas <input type="checkbox"/> Attendee list <input type="checkbox"/> Board minutes <input type="checkbox"/> Documentation of board attendance at offsite training conferences/events/webinars etc. <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Does the agency document what board training has occurred? How? 				
<ul style="list-style-type: none"> Has each board member been provided with training opportunities? If so, how was this documented? 				
S.5.9 Does the agency provide some level of programmatic reporting at every regular board meeting?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Programmatic reports <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Is it documented in board minutes? 				

By Law Specific Questions				
	Yes	No	Documentation Used	Comments
Do the by-laws specify and set number of Board member? How many?			<input type="checkbox"/> By Laws	
Does IHSB have a copy of the agency's most recent bylaws?				
Do bylaws include non-discrimination policies?			<input type="checkbox"/> By Laws	
Do bylaws state that decisions made in closed session must be finalized in a meeting open to the public?			<input type="checkbox"/> By Laws	
Do bylaws state that written minutes of all open meetings shall be kept?			<input type="checkbox"/> By Laws	
Do bylaws state that written advance notice, including an agenda, shall be given to the Board members 5 days prior to Board meetings?			<input type="checkbox"/> By Laws	<p>Manual pg 11 of Administration – “Distribution of the agenda is a good way to give notice.” – 5 days is a best practice</p> <p>Montana Code Annotated (2015) provides: 35-2-429. Call and notice of meetings. (1) Unless the articles or bylaws provide otherwise or unless the provisions of subsection (3) apply, regular meetings of the board may be held without notice. (2) Unless the articles, bylaws, or subsection (3) provide otherwise, special meetings of the board must be preceded by at least 2 days' notice to each director of the date, time, and place, but not the purpose, of the meeting. (3) In a corporation without members, any board action to remove a director or to approve a matter that would require approval by the members if the corporation had members is not valid unless each director is given at least 7 days' written notice that the matter will be voted upon at a directors' meeting or unless notice is waived pursuant to 35-2-430. (4) Unless the articles or bylaws provide otherwise, the presiding officer of the board, the president, or 20% of the directors then in office may call and give notice of a meeting of the board.</p>
Does the agency provide the board with a			(Check all that apply)	

meeting packet prior to meetings? E.g. agendas, reports, financials.			<input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Email <input type="checkbox"/> Other (if other, explain)	
Do bylaws state that public notice shall be posted at least 72 hours prior to the meeting time?			<input type="checkbox"/> By Laws	
Do the bylaws provide for separate finance and personnel committees?			<input type="checkbox"/> By Laws	
Do the bylaws provide policy for addressing board membership issues such removing board members?			<input type="checkbox"/> By Laws	
Additional Board Questions				
	Yes	No	Documentation Used	Comments
Have all Board minutes been submitted to IHSB?				
Date of Board meeting attended in the past 12 months by IHSB staff.				Date attended:
Did the review of the minutes and board member questionnaire support that the Board fully participates in the development, planning, implementation and evaluation of the CSBG program?			<input type="checkbox"/> Board minutes <input type="checkbox"/> Board member questionnaire	
Is the Board a true policy-making body, or does the Board wander into operation or procedural matters (micro-managing the agency)?				
Do the Minutes list Board members in attendance and absent?			<input type="checkbox"/> Board minutes	
Do the minutes and board member questionnaire indicate that Board members are aware of their roles and responsibilities in regard to CSBG resources?			<input type="checkbox"/> Board minutes <input type="checkbox"/> Board member questionnaire	

Does the Board appear to be active & engaged in fulfilling the mission of the agency?			<input type="checkbox"/> Board minutes <input type="checkbox"/> Board member questionnaire	
Vision and Direction – Category 6: Strategic Planning				
	Yes	No	Documentation Used	Comments
S.6.1 Does the Agency have an agency-wide strategic plan in place that has been approved by the governing board within the past 5 years?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Strategic plan <input type="checkbox"/> Other (if other, explain)	Approval Date:
S.6.2 Does the strategic plan address reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient?			(Check all that apply) <input type="checkbox"/> Strategic plan <input type="checkbox"/> Other (if other, explain)	
S.6.3 Does the strategic plan contain family, agency and/or community goals?			(Check all that apply) <input type="checkbox"/> Strategic plan <input type="checkbox"/> Other (if other, explain)	
S.6.4 Is customer satisfaction data and customer input data included in the strategic planning process? How?			(Check all that apply) <input type="checkbox"/> Strategic plan including appendices <input type="checkbox"/> Notes from strategic planning process <input type="checkbox"/> Customer satisfaction data/reports <input type="checkbox"/> Customer input data/reports <input type="checkbox"/> Other (if other, explain)	

S.6.5 Has the board received an update on meeting the goals of the strategic plan within the last 12 months? When?			(Check all that apply) <input type="checkbox"/> Strategic plan update/report <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
Assurance 4 How has the agency provided, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals?			(Check all that apply) <input type="checkbox"/> State Plan <input type="checkbox"/> CSBG Work Plan <input type="checkbox"/> Program reports <input type="checkbox"/> Other (if other, explain)	
Are there any barriers that prevent the agency from accomplishing their goals?				
Operations and Accountability – Category 7: Human Resource Management				
	Yes	No	Documentation Used	Comments
S.7.1 Does the Agency have written personnel policies that have been reviewed by a practicing attorney?			(Check all that apply) <input type="checkbox"/> Personnel policies <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Board minutes <input type="checkbox"/> Statement/invoice from an attorney reflecting the review <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Is the attorney on the agency's board? 				

<ul style="list-style-type: none"> Were the policies approved by the governing board within the past 5 years? 				Approval Date:
S.7.2 Does the Agency make the Employee Handbook (or personnel policies in cases without a Handbook) available to all staff?			(Check all that apply) <input type="checkbox"/> Employee handbook/personnel policies <input type="checkbox"/> Identified process for notifying staff of updates (may be included within the handbook/policy) <input type="checkbox"/> Documentation of location and availability of handbook/policies <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Is staff notified of any changes? How? 				
S.7.3 Does the Agency have written job descriptions for each type of position?			(Check all that apply) <input type="checkbox"/> Organizational chart/staff list <input type="checkbox"/> Job descriptions <input type="checkbox"/> Board or committee minutes noting documents have been updated <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Have they been updated within the past 5 years? 				Update date:
S.7.4 Does the board conduct a performance appraisal of the CEO/Executive Director within each calendar year?			(Check all that apply) <input type="checkbox"/> Board minutes <input type="checkbox"/> Other (if other, explain)	
S.7.5 Does the board review and approve the			(Check all that apply)	

CEO/Executive Director's compensation within every calendar year?			<input type="checkbox"/> Board minutes <input type="checkbox"/> Executive Director/CEO contract (if applicable) <input type="checkbox"/> Other (if other, explain)	
S.7.6 Does the agency have a policy in place for regular written evaluation of employees by their supervisors? What frequency are evaluations given?			(Check all that apply) <input type="checkbox"/> Evaluation process/policy (likely found in personnel policies and procedures) <input type="checkbox"/> Other (if other, explain)	
S.7.7 Does the agency have a whistleblower policy in place that has been approved by the governing board?			(Check all that apply) <input type="checkbox"/> Whistleblower policy <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
S.7.8 Do all staff members participate in a new employee orientation within 60 days of hire?			(Check all that apply) <input type="checkbox"/> Personnel policies/employee handbook <input type="checkbox"/> Orientation materials <input type="checkbox"/> Sampling of HR/personnel files for documentation of attendance <input type="checkbox"/> Other (if other, explain)	
S.7.9 Does the agency conduct or make available			(Check all that apply)	

staff development/training (including ROMA) on an ongoing basis?			<input type="checkbox"/> Training plan(s) <input type="checkbox"/> Documentation of trainings: presentations, evaluations, attendee lists <input type="checkbox"/> Documentation of attendance at offsite training events/conferences <input type="checkbox"/> HR/personnel files <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Is the training documented in agency personnel files? 				
Additional Training and Technical Assistance Questions				
	Yes	No	Documentation Used	Comments
Does the State provide training for program staff?				
Briefly describe how the Agency identifies the training needs of staff.				
Are there any Agency training needs that are not currently being met?				
<ul style="list-style-type: none"> Agency Management Viewpoint: Technical 				
<ul style="list-style-type: none"> Agency Management: Administrative 				
<ul style="list-style-type: none"> Agency Staff Viewpoint: Technical 				
<ul style="list-style-type: none"> Agency Staff: Administrative 				
<ul style="list-style-type: none"> Monitor Viewpoint: Technical 				
<ul style="list-style-type: none"> Monitor Viewpoint: Administrative 				
Additional Personnel Policies and Practices Questions				
	Yes	No	Documentation Used	Comments

Is there a provision in the personnel policies to prohibit conflict of interest and nepotism?			<input type="checkbox"/> Personnel Policies	Last Revision Date:
Did the agency declare any related party transactions in the CSBG contract?				
Do personnel policies correctly address sectarian (religious) activities?			<input type="checkbox"/> Personnel Policies	Last Revision Date:
Is there a provision to provide equal opportunity and prohibit discrimination on the basis of race, color, religion, sex, national origin, age, handicap, political affiliation or belief?			<input type="checkbox"/> Personnel Policies	Last Revision Date:
Do personnel and EEO policies address a system by which discrimination complaints will be resolved?			<input type="checkbox"/> Personnel Policies	Last Revision Date:
Does the agency have adequate staff assigned to administer the CSBG program activities effectively and efficiently?				
Did agency staff involved in the on-site review demonstrate knowledge of CSBG program guidelines and procedures?				
Has the agency experienced recent turnover in staff assigned to administer the CSBG program?				
Does the agency engage in any lobbying, which would include having staff or volunteers meet with, call, or email elected officials regarding state or federal legislation, including appropriations, or referenda or ballot initiatives?				
If yes, what policies and procedures are in place to ensure that only non-federal unrestricted funds are used to pay for lobbying expenses?			(Check all that apply) <input type="checkbox"/> Personnel Policies <input type="checkbox"/> By laws	Last Revision Date:
Are legislative lobbying activities noted?				
Do personnel policies state that the agency may employ no board member during his/her service			<input type="checkbox"/> Personnel Policies	Last Revision Date:

on the board, or for a period of twelve months thereafter?				
Are time and attendance reports adequately maintained for all staff charged to the CSBG contract?			<input type="checkbox"/> Timesheets	
Does the agency use hourly distribution time sheets for employees paid from multiple funding sources?			<input type="checkbox"/> Timesheets	
Do the timesheets substantiate expenditures charged to CSBG?			<input type="checkbox"/> Timesheets	
Are timesheets signed by an appropriate supervisor or designated authority?			<input type="checkbox"/> Timesheets	
Two (2) timesheets for the CSBG grant				
Employee	Time Period		Funding Sources Used	
Travel				
	Yes	No	Documentation Used	Comments
Does the agency follow a Board-approved travel policy?			(Check all that apply) <input type="checkbox"/> Personnel Policies <input type="checkbox"/> By laws <input type="checkbox"/> Other (if other, explain)	
Are travel reconciliations <i>(including advances)</i>			(Check all that apply)	

submitted in a timely manner in accordance with agency policy?			<input type="checkbox"/> Policy Manual <input type="checkbox"/> Travel reconciliation log <input type="checkbox"/> Other (if other, explain)			
Does the agency maintain documentation on employee mileage reimbursements?						
Did reviewed travel expenditures appear allowable?						
Did supporting documentation appear adequate, including appropriate justification for travel costs incurred?						
Travel Expenditures - Employee Name	PO # & Amount	Funding Code	Are funds used for eligible activities <i>only</i>?			
Operations and Accountability – Category 8: Financial Operations and Oversight						
	Yes	No	Documentation Used	Comments		
S.8.1 Is the Agency’s annual audit (or audited financial statements) completed by a Certified Public Accountant (CPA) on time in accordance with Title 2 of the Code of Federal Regulations, Uniform Administrative Requirements, Cost Principles, and Audit Requirement (if applicable) and/or State audit threshold requirements.			(Check all that apply) <input type="checkbox"/> Completed audit <input type="checkbox"/> Other (if other, explain)			
<ul style="list-style-type: none"> Is the agency subject to the single-audit 						

provisions of Omni Circular? <i>Must have more than \$750,000 federal funding or federal pass through funding.</i>				
Have CSBG funds been allocated to pay for an audit?				
Has the audit expense been contractually charged to CSBG administration?				
S.8.2 Have all findings from the prior year's annual audit been assessed by the agency (Board and staff) and addressed where the board has deemed it appropriate?			(Check all that apply) <input type="checkbox"/> Completed audit <input type="checkbox"/> Management response to the audit <input type="checkbox"/> Board minutes <input type="checkbox"/> Other (if other, explain)	
Were there findings or concerns noted in the audit report regarding expenditures of CSBG funds or any compliance issues?			<input type="checkbox"/> Audit report	
Has the agency submitted the most current audit report to IHSB? If not, when is/was the due date?				
S.8.3 Did the agency's auditor present the audit review to the governing board?			(Check all that apply) <input type="checkbox"/> Completed audit <input type="checkbox"/> Board minutes/committee minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Is the presentation to the board reflected in the minutes? 				
S.8.4 Did the board formally receive and accept the audit?			(Check all that apply) <input type="checkbox"/> Completed audit	

			<input type="checkbox"/> Board minutes <input type="checkbox"/> Other (if other, explain)	
S.8.4 Has each board member been provided a copy of the audit with this distribution noted in the board minutes?			(Check all that apply) <input type="checkbox"/> Completed audit <input type="checkbox"/> Board minutes <input type="checkbox"/> Other (if other, explain)	
S.8.5 Has the agency solicited bids for its audit within the past 5 years? Date of last bid?			(Check all that apply) <input type="checkbox"/> Organization procurement policy <input type="checkbox"/> documentation of bid process, including rfp/rfq, list of vendors receiving notice, proof of any publication of the process <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
S.8.6 Is the IRS Form 990 completed annually?			(Check all that apply) <input type="checkbox"/> IRS Form 990 <input type="checkbox"/> Other (if other, explain)	
S.8.6 Has the IRS Form 990 been made available to the governing board for review?			(Check all that apply) <input type="checkbox"/> IRS Form 990 <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Documentation of 990 distribution to the board	

			(mail, email, link) <input type="checkbox"/> Other (if other, explain)	
S.8.7 Does the governing board receive financial reports at each regular meeting?			(Check all that apply) <input type="checkbox"/> Financial reports as noted <input type="checkbox"/> Board minutes/committee minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
<ul style="list-style-type: none"> Do they include an agency-wide report on revenue and expenditures that compares budget to actual, categorized by program? 				
<ul style="list-style-type: none"> Do they include a balance sheet/statement of financial position? 				
S.8.8 Are all required filings and payments related to payroll withholdings completed on time?			(Check all that apply) <input type="checkbox"/> Payroll tax documentation/filings <input type="checkbox"/> Insurance documentation (health, disability, flex accounts) <input type="checkbox"/> Retirement accounts documentation <input type="checkbox"/> Record of payments to state, federal, insurance and retirement accounts <input type="checkbox"/> Other (if other, explain)	
S.8.9 Does the board annually approve an agency-			(Check all that apply)	

wide budget?			<input type="checkbox"/> Agency-wide budget <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
S.8.10 Have the fiscal policies been reviewed by staff within the past 2 years?			(Check all that apply) <input type="checkbox"/> Fiscal policies/procedures manual <input type="checkbox"/> Other (if other, explain)	
S.8.10 Are fiscal policies updated, as necessary, with changes approved by the governing board?			(Check all that apply) <input type="checkbox"/> Fiscal policies/procedures manual <input type="checkbox"/> Board minutes/committee minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	Last Revision Date:
S.8.11 Does the agency have a written procurement policy in place that has been reviewed by the board within the past 5 years?			(Check all that apply) <input type="checkbox"/> Procurement policy <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	Review Date:
S.8.12 Does the agency document how it			(Check all that apply)	

allocates shared costs through an indirect cost rate, or through a written cost allocation plan?			<input type="checkbox"/> Cost allocation plan <input type="checkbox"/> An approved indirect cost rate <input type="checkbox"/> Other (if other, explain)	
If the agency has an Indirect Cost Rate, did they submit a new indirect cost proposal to the appropriate agency within six months after the close of the Fiscal year?			<input type="checkbox"/> Copy of proposal	
S.8.13 Does the agency have a written policy in place for record retention and destruction of both electronic and physical documents?			(Check all that apply) <input type="checkbox"/> Document retention and destruction policy <input type="checkbox"/> Other (if other, explain)	Last Revision Date:
Are financial reports communicated regularly to agency administrative staff, program management and policy groups?				
Fiscal Review				
	Yes	No	Documentation Used	Comments
Does the agency have formal, written accounting procedures to determine whether costs are allowable, allocable and reasonable and that costs are charged during the appropriate funding period?				Last Revision Date:
Is the agency volunteer in-kind rate/hour reasonable?				
Are expenditures reported by the agency to date within the budgeted amounts by category per the contract?				
If reported expenditures exceed budgeted amounts by line item, has the agency requested				

an amendment to the original budget and/or provided adequate explanation for significant variances?				
Were expenditures claimed on the initial invoice incurred by the agency within the term of the contract?				
Did the agency submit a final invoice form within the required time, usually 60 days, after termination of the contract?				
Were expenditures claimed on the final invoice incurred by the agency within the term of the contract?				
Can the amount of funds released by IHSB be traced to amounts posted in the Cash Receipts Journal?				
Can the amounts posted to the Cash Receipts Journal be traced to bank deposit receipts and/or deposits listed on the agency's bank statement(s)?				
Do the amounts on the invoice forms from the agency's files agree with amounts on the invoice forms from IHSB files?				
Can the amounts entered on the invoice forms be reconciled to the agency's General Ledger or other financial reports used to compile the amounts reported on the invoice?				
Can General Ledger postings be traced to the original books of entry?				
Are General Ledger entries traceable to source documentation?				
Does the supporting documentation appear adequate?				
Is there evidence of proper authorization by appropriate agency staff for purchase orders and requisitions?				

Can the amounts posted to the Cash Disbursements Journal be traced to canceled checks or debits posted to the agency's account by the bank?				
Are the amounts and dates of checks processed by the bank consistent with the postings to the agency's Cash Disbursements Journal?				
Were any of the checks reviewed written payable to "Cash" as payee?				
Do the checks have two signatures?				
Are all checks properly co-signed by authorized personnel?				
Monitor Observation: Do the expenditures examined appear to be allowable under CSBG regulations and their CSBG work plan?				
Accounting Records				
	Yes	No	Documentation Used	Comments
Are bank statements reconciled monthly to the General Ledger?				
Are there any checks outstanding for more than 90 days?				
If CSBG funds are in an interest bearing account, is interest earned allocated back to the program?				
Has the agency assured that no CSBG funds have been used to pay late fees to IRS or other penalties?				
Do written procedures ensure items of cost such as rent, utilities and other shared costs are equitably charged and allowable?				
Do administrative and indirect costs charged to the program have supporting documentation for amounts charged?				
Are allocated administrative costs and indirect costs posted to the general ledger on a timely				

basis?				
Does the agency maintain blanket fidelity bond coverage for programs supported by the contract?				Period covered? Expiration date?
Is there a system of control for accounting for gas vouchers, motel vouchers, bus tickets & other direct services, if provided with CSBG funds?				
Does the agency pay all payroll taxes, Workers' Compensation premiums and other insurance premiums on a timely basis?				
Can payroll tax payments be verified?				
Can Workers' Compensation premium payments be verified?				
Overall, is there a clear audit trail for all expenditures charged to the CSBG grant?				
Cash Receipts				
	Yes	No	Documentation Used	Comments
Have procedures been established to notify the Program Director and other appropriate personnel when funds are deposited directly into the grantee's bank account?				
Is there a policy requiring that all cash receipts should be recorded promptly and deposited intact daily or at appropriate intervals (<i>within three working days</i>)?				Last Revision Date:
Are duplicate deposit slips prepared so that the bank can process one copy & return one for verifying against the cash receipts record?				
Is the person responsible for receiving cash without authority to sign checks and reconcile bank accounts?				
Are all staff positions handling cash covered by a fidelity bond?				

Cash Disbursements				
	Yes	No	Documentation Used	Comments
Are checks controlled and accounted for with safeguards over unused, returned and voided checks?				
Are checks payable to “cash” or “bearer” prohibited?				
Are unused checks kept in a secure area?				
Is there an enforced rule against signing checks in advance?				
If check-signing plates are used, are they adequately controlled and maintained by a responsible official who reviews and accounts for prepared checks?				
Are two signatures required on all checks over a stated amount? If yes, what amount has been established? \$0.00.				
Are check signers responsible officials or employees of the Agency?				
Is there sufficient separation of duties to ensure effective control over preparation, authorization/certification and distribution of checks?				
Purchasing				
	Yes	No	Documentation Used	Comments
Do supporting documents, such as invoices, purchase orders and receiving reports accompany checks when presented for check signers’ review?				
Are extensions on invoices, applicable freight and other charges checked by appropriate personnel?				
Are vouchers and supporting documents appropriately cancelled (<i>stamped or perforated</i>) to prevent duplicate payments?				

Are checks adequately cross-referenced to vouchers?				
Are all disbursements, except from petty cash, made by check?				
Petty Cash				
	Yes	No	Documentation Used	Comments
Is petty cash reimbursed by check and, are disbursements reviewed and reconciled at that time?				
Are petty cash receipts cancelled upon fund reimbursement to prevent reuse?				
General Procurement Policies				
	Yes	No	Documentation Used	Comments
Does the agency have written procurement policies and procedures for small purchases, sealed bids, competitive negotiations, non-competitive negotiations and alternative procedures?				Last Revision Date:
Has the agency assured that a competitive bid process was used to procure services, e.g., Insurance? Lease agreements? Rental agreements? Contractual agreements? Any other items requiring procurement?				
If other than a small purchase method was used, did the agency enter into written contracts with subcontractors?				
Procurement Contract Components				
	Yes	No	Documentation Used	Comments
Administrative, contractual or legal remedies				
Early Termination				

Compliance with Executive Order 11246 "Equal Employment Opportunity" as amended by E.O. 11375				
Copeland "anti-kickback" Act				
For contracts in excess of \$100,000, Contract Work Hours & Safety Standards Act				
Hold harmless				
Conflict of interest and nepotism				
Prohibit political/lobbying activity				
Fraud and abuse				
Amend contract				
Legal authority to sign contract				
Access to records				
Record retention: Four years from the date of submission of the final expenditure report				
Non-discrimination provision				
Debarment and suspension E.O.'s 12549 and 12689				
Small Purchases				
	Yes	No	Documentation Used	Comments
For small purchases, does the agency obtain an adequate number of qualified sources as defined by their organization's procurement policy?				
Does the agency establish written selection criteria?				
Does the agency select the vendor who best met the selection criteria?				
Was the procedure well documented?				
Based upon the analysis of the procurement effort, did the agency select the correct vendor(s)?				
Sealed Bid				

	Yes	No	Documentation Used	Comments
Has the agency called for sealed bids?				
Were the advertising requirements met?				
Was the correct time allotted to respond?				
Were the following selection criteria used: a. Integrity b. Financial resources c. Record of past performance d. Technical resources e. Cost				
Are points attached to each criterion?				
Was price given the greatest number of points?				
Was the responsible bidder whose price was lowest awarded the bid?				
Are the bids publicly opened?				
Did the bid package allow for free and open competition?				
Was all necessary information provided to bidders?				
Was the procedure well documented?				
Based upon the analysis of the procurement effort, did the agency select the correct vendor(s)?				
Competitive Negotiations (RFP)				
	Yes	No	Documentation Used	Comments
Has the agency engaged in competitive negotiations?				
Were the advertising requirements met?				
Was the correct time allotted to respond?				
Were the following selection criteria used: a. Integrity b. Financial resources c. Record of past performance				

d. Technical resources				
e. Cost				
Were points attached to each criterion?				
Was price given the greatest number of points?				
Were documented negotiations conducted with the most qualified bidder(s) whose prices were lowest?				
Was the most qualified bidder(s) with the lowest negotiated price selected?				
Did the proposal provide for free and open competition?				
Was all necessary information provided to bidders?				
Was the procedure well documented?				
Based upon the analysis of the procurement effort, did the agency select the correct vendor(s)?				
Non-Competitive Negotiations (Sole Source)				
	Yes	No	Documentation Used	Comments
Did the agency obtain a written consent letter from IHSB or notify the Department of the method used for the current contract year?				
Was the procedure well documented?				
Before requesting IHSB consent to use this method, were the following procedures followed:				
Were the advertising requirements met?				
Was the correct time allotted to respond?				
Were the following selection criteria used: a. Integrity b. Financial resources c. Record of past performance d. Technical resources e. Price				
Were points attached to each criterion?				

Was price given the greatest number of points?				
Were the bids publicly opened?				
Did the bid package allow for free and open competition?				
Was all necessary information provided to bidders?				
Was the procedure well documented?				
Based upon the analysis of the procurement effort, did the agency select the correct vendor(s)?				
Alternative Procedure				
	Yes	No	Documentation Used	Comments
Did the method selected provide for free and open competition?				
Did the agency obtain written consent from IHSB or notify the Department of this method? Why was this method needed?				
Was/were the best product(s) and/or services obtained based on established criteris?				
Was the method adequately documented?				
Were the advertising requirements met?				
Was the correct time allotted to respond?				
Were the following selection criteria used: a. Integrity b. Financial resources c. Record of past performance d. Technical resources e. Price				
Were points attached to each criterion?				
Was price given the greatest number of points?				
Were the bids publicly opened?				
Did the bid package allow for free and open competition?				

Was all necessary information provided to bidders?				
Was the procedure well documented?				
Based upon procurement analysis, was correct vendor(s) selected?				
Operations and Accountability – Category 9: Data and Analysis				
	Yes	No	Documentation Used	Comments
S.9.1 Does the Agency have a system or systems in place to track and report client demographics and services customers receive?			(Check all that apply) <input type="checkbox"/> CSBG Information Survey data report <input type="checkbox"/> Data system documentation and/or direct observation <input type="checkbox"/> Reports as used by staff, leadership, board or cognizant funder <input type="checkbox"/> Other (if other, explain)	
S.9.2 Does the agency have a system or systems to track family, agency, and/or community outcomes?			(Check all that apply) <input type="checkbox"/> Data system documentation and/or direct observation <input type="checkbox"/> Reports as used by staff, leadership, board or cognizant funder <input type="checkbox"/> Other (if other, explain)	
S.9.3 Has the Agency presented an analysis of its outcomes and any operational or strategic program adjustments and improvement identified as necessary to the governing board for			(Check all that apply) <input type="checkbox"/> Strategic plan update/report	

review or action within at least the past 12 months?			<input type="checkbox"/> Other outcome report <input type="checkbox"/> Notes from staff analysis <input type="checkbox"/> Board minutes <input type="checkbox"/> Board pre-meeting materials/packet <input type="checkbox"/> Other (if other, explain)	
Was the agency able to gather and track all information needed to assess whether its goals were met?			(Check all that apply) <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> Other (if other, explain)	
Are program outcomes sufficiently documented?			(Check all that apply) <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> Other (if other, explain)	
Is the agency reporting on all six of the National Goals?			(Check all that apply) <input type="checkbox"/> IS report <input type="checkbox"/> Progress Report <input type="checkbox"/> Other (if other, explain)	
Are all of the counties/ municipalities in the agency's service area served equitably?				
Is the agency gathering and tracking all information needed to complete the CSBG program reports?				
Is the agency on track to meet the goals and objectives stated in the application and scope of work by the end of the contract period?			(Check all that apply) <input type="checkbox"/> Work Plan <input type="checkbox"/> Progress Report <input type="checkbox"/> Other (if other, explain)	

Is the agency fulfilling its responsibility to establish and maintain an effective internal control system to ensure that: a. Appropriate goals and outcome measures are met; b. Resources are safeguarded; c. Laws and regulations are followed; and d. Reliable data are obtained, maintained and fairly disclosed.				
Does the agency appear to be fulfilling its responsibility to use resources efficiently, economically and effectively to achieve the purposes for which the CSBG funding was provided?				
Does the Board re-evaluate programs based on the planned & achieved outcomes?				
S.9.4 Did the agency submit its annual CSBG Information Survey Data Report (I.S. Report) on time?			(Check all that apply) <input type="checkbox"/> CSBG Information Survey data report <input type="checkbox"/> Email or upload documentation reflecting submission <input type="checkbox"/> Backup docs gathered agency-wide to support the IS submission <input type="checkbox"/> Other (if other, explain)	
S.9.4 Does the I.S. Report reflect client demographics and organization-wide outcomes?			(Check all that apply) <input type="checkbox"/> CSBG Information Survey data report <input type="checkbox"/> Other (if other, explain)	

Client Eligibility- *if providing direct services*

	Yes	No	Documentation Used	Comments
Does the agency provide direct services with CSBG funds?				
Are intake forms completed properly?				
Is the agency using the appropriate HHS poverty guidelines to determine eligibility?				
Does the agency limit eligibility to clients at or below 125% of the HHS poverty guidelines?				
Does the agency have procedures in place to verify income amounts and family size as stated in the application?				
Do client files contain information regarding types of assistance and dates of services provided?				
Does the agency link with other programs in the community when services required are beyond the agency's scope?				
Are referrals documented/logged in the client records?				
Is follow-up information complete?				
Does the agency have in place an effective system for tracking and reporting the number of clients transferring out of poverty as a result of the services provided by the agency?				
Is there evidence that applicants were apprised of grievance procedures if services were denied?				
Does the agency appear to take the appropriate steps to ensure privacy and confidentiality of client information, such as secure files, confidentiality policies, private consultation space, etc.?				
Are client records maintained for four years?				

Direct Service Client File Review

Client Name	Type of Assistance & Amount	Income verified?	@ or below 125% of Poverty?	Fund/Vendor/Voucher Date/Check #

Other General Questions				
	Yes	No	Documentation Used	Comments
Does the agency maintain all issuances and memoranda regarding CSBG funding in a centralized file or notebook?				
Does agency staff have access to CSBG guidelines?				
Are there any investigations, lawsuits or other legal actions pending against the agency?				
Have there been any lawsuits, investigations or other legal actions against the agency during the last 5 years?				

Has the agency had any suspensions/terminations of federal, state or local funds within the last three years?				
Assurance 10 How has the agency worked to inform custodial parents in single parent homes who participate in CSBG funded programs about the availability of child support services and referred them to child support offices?				
Which outreach mechanisms does the agency use? Ex. Press releases, radio/TV, printed announcements, referrals...				
How are language barriers addressed through outreach?				

Additional observations, comments?

Needed follow up?

End of CSBG Monitoring Tool